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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/693,706	10/24/2003	Youzhong Liu	03-1003	2276

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EXAMINER
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SALL, EL HADJI MALICK

ART UNIT	PAPER NUMBER
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2157

NOTIFICATION DATE	DELIVERY MODE
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07/30/2007

ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

patents@verizon.com

## Office Action Summary

**Application No.**

10/693,706

**Applicant(s)**

LIU ET AL.

**Examiner**

El Hadji M. Sall

**Art Unit**

2157

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 24 October 2003.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-28 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-28 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>10/24/03</u> | 6) <input type="checkbox"/> Other: _____  |

### DETAILED ACTION

1. This action is responsive to the application filed on October 24, 2003. Claims 1-28 are pending. Claims 1-28 represent screen scraping interface.

2. ***Claim Rejections - 35 USC § 102***

A person shall be entitled to a patent unless –

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

The changes made to 35 U.S.C. 102(e) by the American Inventors Protection Act of 1999 (AIPA) and the Intellectual Property and High Technology Technical Amendments Act of 2002 do not apply when the reference is a U.S. patent resulting directly or indirectly from an international application filed before November 29, 2000. Therefore, the prior art date of the reference is determined under 35 U.S.C. 102(e) prior to the amendment by the AIPA (pre-AIPA 35 U.S.C. 102(e)).

3. Claims 1-26 and 28 are rejected under 35 U.S.C. 102(e) as being unpatentable over Teubner U.S. 6,981,257.

Teubner teaches the invention as claimed including system, method and apparatus to allow communication between CICS and non-CICS software application (see abstract).

As to claims 1, 15 and 18, Teubner teaches a method, an interface and a computer-readable medium containing instructions for controlling a computer to perform screen-based navigation for interfacing a client with a mainframe system, said instructions controlling a computer to:

define at least one service in a string based command language, said at least one service including at least one mainframe screen interaction (column 1, lines 46-51);

receive eXtensible Markup Language (XML) requests from said client (column 2, lines 42-45);

parse said requests into string based command language requests (column 3, lines 53-57);

determine said at least one service corresponding to said string based command language requests to obtain service script corresponding to said at least one service (column 13, line 66 to column 14, line 3);

establish a connection to said mainframe system (column 14, lines 4-6);  
execute said service script on said mainframe system to perform said at least one mainframe screen interaction corresponding with said service (column 19, lines 43-48);  
generate results for said at least one mainframe screen interaction in XML format (column 14, lines 9-11); and  
present said results to said client (column 14, lines 12-13).

As to claims 2 and 3, Teubner teaches a method according to claims 1 and 2, respectively, wherein receiving said requests for services comprises:

receiving a connection request from said client (column 11, lines 47-61; column 11, line 62 to column 12, lines 54); and

instantiating a session manager to receive said requests for services (column 11, lines 62-65; column 11, line 62 to column 12, lines 54).

As to claims 4 and 5, Teubner teaches a method according to claims 1 and 4, respectively, comprising:

retrieving entitlement information related to said client (column 12, lines 64—67);  
and

obtaining said service definitions when said entitlement information indicates said parsed requests can be processed for said client (column 4, lines 53-57).

As to claim 6, Teubner teaches a method according to claim 1, wherein:

obtaining service definitions comprises determining if said requests for services are requests for single commands (column 2, lines 42-45); and

executing commands for providing results comprises executing said single commands at an interface interfacing said client with said mainframe system when said requests for services are requests for single commands (column 19, lines 43-48; column 14, lines 9-13).

As to claims 7-10 and 16-17, Teubner teaches a method according to claims 1, 7, 7, 9, 15 and 16, respectively, comprising: creating a plurality of connections with said mainframe system to form a connection pool; and assigning one of said connections from said connection pool for interacting with said mainframe system when a service request is received (columns 5-8, Teubner discloses programming interface between CICS program and terminal devices...; column 19, lines 43-48; column 14, lines 9-13).

As to claim 11, Teubner teaches a method according to claim 1, comprising: specifying identifiers for screens of said mainframe system; and specifying actions to be taken with respect to said screens to generate said service definitions, said actions including one of receiving said requests for services and providing said results (column 19, lines 30-39).

As to claims 12-14, Teubner teaches a method according to claims 1, 12 and 12, respectively, comprising: opening a socket connection to an interface to facilitate interfacing with said mainframe system; and managing said interface over said socket connection (column 14, line 18 to column 16, line 28).

As to claim 19, Teubner teaches an interface according to claim 18, comprising: a database for storing a plurality of service definitions; and a storage manager communicating with said service processor and retrieving from said database said service definitions based on said parsed requests (column 14, lines 33-47).

As to claims 20-23, Teubner teaches an interface according to claim 18, comprising an interface engine to listen for a connection request and instantiate said session manager to receive said requests for services related to said connection request (column 11, line 47 to column 12, lines 54).

As to claims 24 and 25, Teubner teaches an interface according to claims 18 and 24, respectively, comprising an administrative tool for facilitating at least one of creating new service definitions and modifying existing service definitions (column 14, line 18 to column 16, line 28).

As to claim 26, Teubner teaches an interface according to claim 18, comprising a command processor to execute administrative commands based on said requests for

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services when said requests for services are requests for a single command (column 19, lines 43-48; column 14, lines 9-13).

As to claim 28, Teubner teaches an interface according to claim 18, comprising a logging service to log activities of said interface (column 14, line 18 to column 16, line 28).

**4. Claim Rejections - 35 USC § 103**

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claim 27 is rejected under 35 U.S.C. 103(a) as being unpatentable over Teubner U.S. 6,981,257 in view of Steele et al. U.S. 7,016,877.



Teubner teaches the invention substantially as claimed including system, method and apparatus to allow communication between CICS and non-CICS software application (see abstract).

As to claim 27, Teubner teaches an interface according to claim 18

Teubner fails to teach explicitly an authenticator containing access privilege information for said client, said access privilege information for determining if a client inputting said requests for services is authorized to have said service processor obtain said service definitions based on said parsed requests.

However, Steele teaches Consumer-controlled limited and constrained access to a centrally stored information account. Steele teaches an authenticator containing access privilege information for said client, said access privilege information for determining if a client inputting said requests for services is authorized to have said service processor obtain said service definitions based on said parsed requests (column 10, lines 29-52).

It would have been obvious to one of ordinary skill in the art at the time of the invention to combine Teubner in view of Steele to provide an authenticator containing access privilege information for said client, said access privilege information for determining if a client inputting said requests for services is authorized to have said service processor obtain said service definitions based on said parsed requests. One would be motivated to do so to allow monitoring transactions.

**6. Conclusion**

Examiner has cited particular columns and line numbers in the references applied to the claims above for the convenience of the applicant. Although the specified citations are representative of the teachings of the art and are applied to specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested from the applicant in preparing responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the Examiner.

In the case of amending the claimed invention, Applicant is respectfully requested to indicate the portion(s) of the specification which dictate(s) the structure relied on for proper interpretation and also to verify and ascertain the metes and bounds of the claimed invention

Any inquiry concerning this communication or earlier communications from the examiner should be directed to El Hadji M Sall whose telephone number is 571-272-4010. The examiner can normally be reached on 8:00-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Ario Etienne can be reached on 571-272-4001. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the

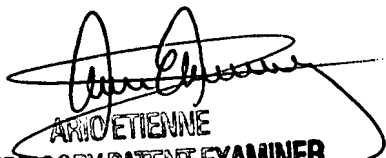
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Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

El Hadji Sall

Patent Examiner

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